

PATENT APPLICATION 09/381,742  
GREN.P-001NP

276/  
#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: White  
Serial No.: 09/381,742  
Filed: September 22, 1999  
For: Exchange Method and Apparatus

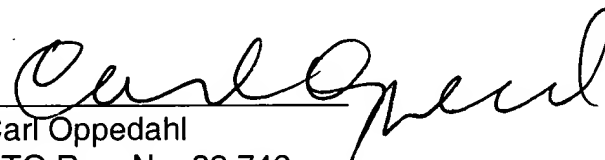
INFORMATION DISCLOSURE STATEMENT

Hon. Commissioner of Patent and Trademarks  
Washington, D.C. 20231

Sir:

Applicants request that the references listed on Form PTO 1449, which is attached, be made of record in the Patent and Trademark Office file relating to the above-captioned application. Copies of the references are enclosed. We have not received an office action for this application, therefore we expect that no fee is due with this submission. However, should any fee be due with regard to this submission, the Commissioner is authorized to charge any additional fees to Deposit Account No. 15-0610.


Respectfully submitted,

  
Carl Oppedahl  
PTO Reg. No. 32,746  
(970) 468-6600

Enclosure

I hereby certify that this paper and the attachments named herein are being deposited with the United States Postal Service as express mail EL556131796US in an envelope addressed to Asst. Commissioner for Patents, Washington, D.C. 20231 on August 5, 2000

August 5, 2000  
Date of Signature

  
Stephanie G. Redenz



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A circular stamp from the Office of Patent &amp; Trademark. The text "OIP&amp;T" is at the top, "AUG 07 2000" is in the center, and "OFFICE OF PATENT &amp; TRADEMARK" is around the bottom. The stamp is partially cut off by the right edge of the page.

Application Number	09/381,742
Filing Date	September 22, 1999
First Named Inventor	White
Group Art Unit	
Examiner Name	
Attorney Docket Number	GRENP001NP

[illegible][illegible]

Examiner Signature		Date Considered	
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<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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GRENNEX CORPORATION  
MEMORANDUM

Date: 2000.08.04

From: Newton B. White, Jr.

Re: Information Disclosure Statement for GRENNP01NP

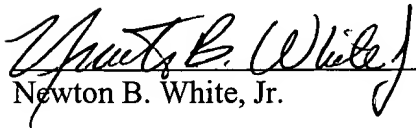
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The following additional materials are enclosed for filing with the US PTO as part of Information Disclosure Statement for O&L File GRENNP01NP (US Patent Application No. 09/381,742):

- ☐ 1. 1971.05.25: US Patent 3,581,072 titled "Auction Market Computation System".
- ☐ 2. 1985: Excerpts from "Market Making and the Changing Structure of the Securities Industry".
- ☐ 3. 1990.01.19: SEC Release No. 34-27611 re Delta Government Options Corp.
- ☐ 4. 1990.10.03: Form 1 filed by Wunsch Auction Systems, Inc.
- ☐ 5. 1991.02.20: SEC Release No. 34-28899 re Wunsch Auction Systems, Inc.
- ☐ 6. 1991.12.31: US Patent 5,077,665 titled "Distributed Matching System".
- ☐ 7. 1992.08.04: US Patent 5,136,501 titled "Anonymous Matching System".
- ☐ 8. 1994.10: NYSE Working Paper 94-02 titled "In Search of Liquidity: Block Trades in the Upstairs and Downstairs Markets".
- ☐ 9. 1994.11.21: Document titled "arizona stock exchange user's guide VERSION 2.1".
- ☐ 10. 1996.12.17: Document titled "1996.12.17 prior art search part 0.doc". This is a 217 page print out of a log file that was collected during an interaction with the Dialog search system on December 17, 1996. It shows both the commands that were entered into the Dialog system and the output that was received. I have not reviewed that log file in detail. I have not obtained copies of the patents identified in that log file.
- ☒ 11. ~~1996.12.17: Document titled "1996.12.17 prior art search part 1.doc". This is a 30 page print out of a log file that was collected during an interaction with the Dialog search system on December 17, 1996. It shows both the commands that were entered into the Dialog system and the output that was received. I have not reviewed that log file in detail. I have not obtained copies of the patents identified in that log file.~~

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MEMORANDUM

- ☐ ~~12. 1998.03.12: PCT International Publication No. WO 98/10361 for International Application No. PCT/US97/15492 titled "Conditional Purchase Offer Management System".~~
- ☐ ~~13. 1998.08.11: US Patent 5,794,207 titled "Method and Apparatus for a Cryptographically Assisted Commercial Network System Designed to Facilitate Buyer Driver Conditional Purchase Offers".~~

 8/4/2000  
Newton B. White, Jr.